



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/886,478	06/20/2001	Bruce E. Brown	21893-05171

00758  
FENWICK & WEST LLP  
TWO PALO ALTO SQUARE  
PALO ALTO, CA 94306



CONFIRMATION NO. 7015

## FORMALITIES LETTER



\*OC000000006301310\*

Date Mailed: 07/16/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$778.
  - \$603 for 67 total claims over 20.
  - \$40 for 1 independent claims over 3 .
  - \$135 for multiple dependent claim surcharge.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 1198.**

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

09/19/2001 KZENDIE 00000033 09886478  
01 FC:101 710.00 DP  
02 FC:105 130.00 DP  
03 FC:102 80.00 DP  
04 FC:103 1206.00 DP  
05 FC:104 270.00 DP



PATENT

IN THE UNITED STATES  
PATENT AND TRADEMARK OFFICE

APPLICANT(S): Bruce E. Brown, Aaron M. Brown and Bruce-Eric Brown II  
APPLICATION NO.: 09/886,478  
FILING DATE: June 20, 2001  
TITLE: Variable Trust Levels For Authentication  
EXAMINER: Not yet known  
GROUP ART UNIT: 2131  
ATTY. DKT. NO.: 21893-05171

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Box Missing Parts, Commissioner For Patents, Washington, D.C. 20231, on the date shown below:

Dated: SEP 7/01 By: [Signature]  
Amir H. Raubvogel, Reg. No.: 37,070

BOX MISSING PARTS  
COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

RESPONSE TO NOTICE TO FILE MISSING  
PARTS OF APPLICATION

SIR:

Responsive to the Notice to File Missing Parts dated June 16, 2001 received in the above-identified patent application,

☒ Enclosed are:

- ☒ a copy of the Notice to File Missing Parts;
- ☒ an original, signed Declaration;
- ☒ an original, signed Power of Attorney;
- ☐ an Application Data Sheet;
- ☒ payment in the amount of \$2,396.00 for the
  - ☒ application filing fee;

☒ fee for additional claims; and

☒ missing parts surcharge.

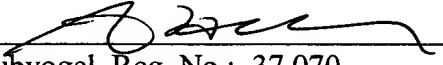
☐ Other

☐ Applicant claims small entity status under 37 C.F.R. § 1.27.

Please note that Applicants do not claim small entity status.

Respectfully submitted,  
BRUCE E. BROWN, AARON M. BROWN AND  
BRUCE-ERIC BROWN II

Dated: SEP 7/01

By:   
Amir H. Raubvogel, Reg. No.: 37,070  
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Two Palo Alto Square  
Palo Alto, CA 94306  
Tel.: (650) 858-7276  
Fax.: (650) 494-1417

21893/05171/DOCS/1206018.1



Sector #  
+

PTO/SB/21 (modified)  
Approved for use through xx/xx/xx, OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

8001/PTO Rev. 10/95		U.S. Department of Commerce Patent and Trademark Office		Application Number	09/886,478		
<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence during pendency of filed application)</i>				Filing Date	June 20, 2001		
				First Named Inventor	Bruce E. Brown		
				Group Art Unit Number	2131		
				Examiner Name	Not yet known		
Total Number of Pages in This Submission		8	Attorney Docket Number		21893-05171		

ENCLOSURES (check all that apply)	
<input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate) <input checked="" type="checkbox"/> Check Enclosed <input checked="" type="checkbox"/> Return Receipt Postcard <input checked="" type="checkbox"/> Response to Notice to File Missing Parts <input type="checkbox"/> Assignment & Recordation Cover Sheet <input checked="" type="checkbox"/> Declaration <input checked="" type="checkbox"/> Power of Attorney <input type="checkbox"/> Application Data Sheet <input type="checkbox"/> Information Disclosure Statement & PTO-1449 <input type="checkbox"/> Copies of IDS Cited References <input type="checkbox"/> Request for Corrected Filing Receipt <input type="checkbox"/> Request for Correction of Recorded Assignment <input type="checkbox"/> Amendment/Response: [ ] Page(s) <input type="checkbox"/> After Final <input type="checkbox"/> Status Request <input type="checkbox"/> Revocation and Substitute Power of Attorney	<input type="checkbox"/> Issue Fee Transmittal <input type="checkbox"/> Letter to Chief Draftsperson <input type="checkbox"/> Formal Drawing(s): [ ] Sheet(s) of Figure(s) [ ] <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> After Allowance Communication to Group <input checked="" type="checkbox"/> Copy of Notice to File Missing Parts <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
REMARKS:	

SIGNATURE OF ATTORNEY OR AGENT			
Signature:			
Attorney/Reg. No.:	Amir H. Raubvogel / Reg. No.: 37,070	Dated:	September 7, 2001

CERTIFICATE OF MAILING			
I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on the date shown below. If the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10.			
Signature:			
Typed or Printed Name:	Amir H. Raubvogel	Dated:	September 7, 2001
Express Mail Mailing Number (optional):			

21893/05171/DOCS/1206038.1



PTO/SB/17 (10-00)(modified)  
Approved for use through 09/29/01, OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

000247 (modified) Rev. 10/2000	U.S. Department of Commerce Patent and Trademark Office	<b>Complete if Known</b>	
<b>FEE TRANSMITTAL</b>  <b>TOTAL AMOUNT OF PAYMENT</b> Subtotal (1) + Subtotal (2) + Subtotal (3) = <b>(\$ 2,396.00)</b>		Application Number	09/886,478
		Filing Date	June 20, 2001
		First Named Inventor	Bruce E. Brown
		Group Art Unit	2131
		Examiner Name	Not yet known
		Attorney Docket Number	21893-05171

METHOD OF PAYMENT		FEE CALCULATION (continued)																																																																																													
<b>1. The Commissioner is hereby authorized to:</b>  <input type="checkbox"/> Charge the indicated fees to the below mentioned deposit account.  <input type="checkbox"/> Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account. <sup>†</sup>  <input type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27  Deposit Account Number: 19-2555 Deposit Account Name: FENWICK & WEST LLP  A Duplicate Copy of this authorization is attached  <b>2. <input checked="" type="checkbox"/> Payment Enclosed:</b> <input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit Card <input type="checkbox"/> Other		<b>3. ADDITIONAL FEES</b> <table border="1"><thead><tr><th>Large Entity Fee Code/Fee</th><th>Small Entity Fee Code/Fee</th><th>Fee Description</th><th>Fee Due</th></tr></thead><tbody><tr><td>105/\$130</td><td>205/\$65</td><td>Surcharge - late filing fee or oath</td><td><b>130</b></td></tr><tr><td>127/\$50</td><td>227/\$25</td><td>Surcharge-late provisional filing fee or cover sheet</td><td></td></tr><tr><td>147/\$2,520</td><td>147/\$2,520</td><td>For filing a request for reexamination</td><td></td></tr><tr><td>115/\$110</td><td>215/\$55</td><td>Extension for response within first month<sup>†</sup></td><td></td></tr><tr><td>116/\$390</td><td>216/\$195</td><td>Extension for response within second month<sup>†</sup></td><td></td></tr><tr><td>117/\$890</td><td>217/\$445</td><td>Extension for response within third month<sup>†</sup></td><td></td></tr><tr><td>118/\$1,390</td><td>218/\$695</td><td>Extension for response within fourth month<sup>†</sup></td><td></td></tr><tr><td>128/\$1,890</td><td>228/\$945</td><td>Extension for response within fifth month<sup>†</sup></td><td></td></tr><tr><td>119/\$310</td><td>219/\$155</td><td>Notice of Appeal</td><td></td></tr><tr><td>141/\$1,240</td><td>241/\$620</td><td>Petition to revive unintentionally abandoned application</td><td></td></tr><tr><td>142/\$1,240</td><td>242/\$620</td><td>Utility Issue Fee (Or Reissue)</td><td></td></tr><tr><td>143/\$440</td><td>243/\$220</td><td>Design Issue Fee</td><td></td></tr><tr><td>122/\$130</td><td>122/\$130</td><td>Petitions to the Commissioner</td><td></td></tr><tr><td>126/\$180</td><td>126/\$180</td><td>Submission of Information Disclosure Statement</td><td></td></tr><tr><td>179/\$710</td><td>279/\$355</td><td>Request for Continued Examination (RCE)</td><td></td></tr><tr><td>581/\$40</td><td>581/\$40</td><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr><tr><td>146/\$710</td><td>246/\$355</td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td><td></td></tr><tr><td>149/\$710</td><td>249/\$355</td><td>For each additional invention to be examined (37 CFR 1.129(b))</td><td></td></tr><tr><td colspan="2">Other fee (specify):</td><td></td><td></td></tr><tr><td colspan="2">Other fee (specify):</td><td></td><td></td></tr><tr><td colspan="3"><b>SUBTOTAL (3)</b></td><td><b>(\$ 130)</b></td></tr></tbody></table>		Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due	105/\$130	205/\$65	Surcharge - late filing fee or oath	<b>130</b>	127/\$50	227/\$25	Surcharge-late provisional filing fee or cover sheet		147/\$2,520	147/\$2,520	For filing a request for reexamination		115/\$110	215/\$55	Extension for response within first month <sup>†</sup>		116/\$390	216/\$195	Extension for response within second month <sup>†</sup>		117/\$890	217/\$445	Extension for response within third month <sup>†</sup>		118/\$1,390	218/\$695	Extension for response within fourth month <sup>†</sup>		128/\$1,890	228/\$945	Extension for response within fifth month <sup>†</sup>		119/\$310	219/\$155	Notice of Appeal		141/\$1,240	241/\$620	Petition to revive unintentionally abandoned application		142/\$1,240	242/\$620	Utility Issue Fee (Or Reissue)		143/\$440	243/\$220	Design Issue Fee		122/\$130	122/\$130	Petitions to the Commissioner		126/\$180	126/\$180	Submission of Information Disclosure Statement		179/\$710	279/\$355	Request for Continued Examination (RCE)		581/\$40	581/\$40	Recording each patent assignment per property (times number of properties)		146/\$710	246/\$355	Filing a submission after final rejection (37 CFR 1.129(a))		149/\$710	249/\$355	For each additional invention to be examined (37 CFR 1.129(b))		Other fee (specify):				Other fee (specify):				<b>SUBTOTAL (3)</b>			<b>(\$ 130)</b>				
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<b>FEE CALCULATION (fees effective 10/01/2000)</b> <b>1. FILING FEE</b> <table border="1"><thead><tr><th>Large Entity Fee Code/Fee</th><th>Small Entity Fee Code/Fee</th><th>Fee Description</th><th>Fee Due</th></tr></thead><tbody><tr><td>101/\$710</td><td>201/\$355</td><td>Utility Filing</td><td><b>710</b></td></tr><tr><td>106/\$320</td><td>206/\$160</td><td>Design Filing</td><td></td></tr><tr><td>108/\$710</td><td>208/\$355</td><td>Reissue</td><td></td></tr><tr><td>114/\$150</td><td>214/\$75</td><td>Provisional Filing</td><td></td></tr><tr><td colspan="3"><b>SUBTOTAL (1)</b></td><td><b>(\$ 710)</b></td></tr></tbody></table> <b>2. CLAIMS</b> <table border="1"><thead><tr><th>Large Entity Fee Code/Fee</th><th>Small Entity Fee Code/Fee</th><th>Fee Description</th></tr></thead><tbody><tr><td>103/\$18</td><td>203/\$9</td><td>Claims in excess of 20</td></tr><tr><td>102/\$80</td><td>202/\$40</td><td>Independent claims in excess of 3</td></tr><tr><td>104/\$270</td><td>204/\$135</td><td>Multiple dependent claim</td></tr><tr><td>109/\$80</td><td>209/\$40</td><td>Reissue independent claims over original patent</td></tr><tr><td>110/\$18</td><td>210/\$9</td><td>Reissue claims in excess of 20 and over original patent</td></tr></tbody></table>		Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due	101/\$710	201/\$355	Utility Filing	<b>710</b>	106/\$320	206/\$160	Design Filing		108/\$710	208/\$355	Reissue		114/\$150	214/\$75	Provisional Filing		<b>SUBTOTAL (1)</b>			<b>(\$ 710)</b>	Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	103/\$18	203/\$9	Claims in excess of 20	102/\$80	202/\$40	Independent claims in excess of 3	104/\$270	204/\$135	Multiple dependent claim	109/\$80	209/\$40	Reissue independent claims over original patent	110/\$18	210/\$9	Reissue claims in excess of 20 and over original patent	<table border="1"><thead><tr><th colspan="2">(Col. 1)</th><th colspan="2">(Col. 2)</th><th colspan="2">(Col. 3)</th><th colspan="2"></th><th colspan="2"></th></tr><tr><th>For</th><th>No. of Existing Claims</th><th></th><th>Highest No. Previously Paid For</th><th></th><th>Extra**</th><th></th><th>Fee</th><th></th><th>Fee Due</th></tr></thead><tbody><tr><td>TOTAL</td><td>87</td><td>minus*</td><td>20 or 0</td><td>=</td><td>67</td><td>x</td><td>18</td><td>=</td><td>1,206</td></tr><tr><td>INDEP</td><td>4</td><td>minus*</td><td>3 or 0</td><td>=</td><td>1</td><td>x</td><td>80</td><td>=</td><td>80</td></tr><tr><td colspan="7">[X] First presentation of multiple dependent claim</td><td>270</td><td>=</td><td>270</td></tr></tbody></table> <p>* Subtract the greater number of Col. 2 ** If the difference between Col. 1 and Col. 2 is less than zero, then enter "0" in Col. 3</p> <p><b>SUBTOTAL (2)</b> <b>(\$ 1,556)</b></p>		(Col. 1)		(Col. 2)		(Col. 3)						For	No. of Existing Claims		Highest No. Previously Paid For		Extra**		Fee		Fee Due	TOTAL	87	minus*	20 or 0	=	67	x	18	=	1,206	INDEP	4	minus*	3 or 0	=	1	x	80	=	80	[X] First presentation of multiple dependent claim							270	=	270
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<b>SUBMITTED BY</b>		<b>Complete (if applicable)</b>	
Typed or Printed Name	Amir H. Raubvogel	Reg. Number	37,070
Signature		Date	September 7, 2001